PATENT

Preliminary Classification:

Proposed Class:

Subclass:

NOTE: "All applicants are requested to include a preliminary classification on newly filed patent applications. The preliminary classification, preferably class and subclass designations, should be identified in the upper right-hand comer of the letter of transmittal accompanying the application papers, for example 'Proposed Class 2, subclass 129.' " M.P.E.P. § 601, 7th ed.

FORM 4-1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application Assistant Commissioner for Patents Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): Paul Entwistle

WARNING: 37 C.F.R. § 1.41(a)(1) points out:

"(a) A patent is applied for in the name or names of the actual inventor or inventors.

"(1) The inventorship of a nonprovisional application is that inventorship set forth in the oath or declaration as prescribed by § 1.63, except as provided for in § 1.53(d)(4) and § 1.63(d). If an oath or declaration as prescribed by § 1.63 is not filed during the pendency of a nonprovisional application, the inventorship is that inventorship set forth in the application papers filed pursuant to § 1.53(b), unless a petition under this paragraph accompanied by the fee set forth in § 1.17(i) is filed supplying or changing the name or names of the inventor or inventors."

For (title):

PORTABLE COMMUNICATIONS DEVICE

CERTIFICATION UNDER 37 C.F.R. § 1.10*

(Express Mail label number is mandatory.) (Express Mail certification is optional.)

I hereby certify that this New Application Transmittal and the documents referred to as attached therein are being 4 May deposited with the United States Postal Service on this date _ as "Express Mail Post Office to Addressee," mailing Label Number $rac{EL7493411}{}$ dressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

(type or print name of person mailing pa

Signature of person mailing paper

WARNING: Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. § 1.8 cannot be

used to obtain a date of mailing or transmission for this correspondence.

*WARNING: .. Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. § 1.10(b). a comme a comme accomment.

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

(New Application Transmittal [4-1]-page 1 of 11)

1.	Туре	O.	plication

This new application is for a(n)



	
	X Original (nonprovisional)
	Design
	☐ Plant
WARNIN	IG: Do not use this transmittal for a completion in the U.S. of an International Application under 35 U.S.C. § 371(c)(4), unless the International Application is being filed as a divisional, continuation or continuation-in-part application.
WARNIN	IG: Do not use this transmittal for the filing of a provisional application.
	lf one of the following 3 items apply, then complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF A PRIOR U.S. APPLICATION CLAIMED and a NOTIFICATION IN PARENT APPLICATION OF THE FILING OF THIS CONTINUATION APPLICATION.
· 🗆	Divisional.
	Continuation.
	Continuation-in-part (C-I-P).
Bene	efit of Prior U.S. Application(s) (35 U.S.C. §§ 119(e), 120, or 121)
	A comment to the state of the s

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NOTE: A nonprovisional application may claim an invention disclosed in one or more prior filed copending nonprovisional applications or copending international applications designating the United States of America. In order for a nonprovisional application to claim the benefit of a prior filed copending nonprovisional application or copending international application designating the United States of America, each prior application must name as an inventor at least one inventor named in the later filed nonprovisional application and disclose the named inventor's invention claimed in at least one claim of the later filed nonprovisional application in the manner provided by the first paragraph of 35 U.S.C. § 112. Each prior application must also be:

- (i) An international application entitled to a filing date in accordance with PCT Article 11 and designating the United States of America; or
 - (ii) Complete as set forth in § 1.51(b); or
- (iii) Entitled to a filing date as set forth in § 1.53(b) or § 1.53(d) and include the basic filing fee set forth in § 1.16; or
- (iv) Entitled to a filing date as set forth in § 1.53(b) and have paid therein the processing and retention fee set forth in § 1.21(I) within the time period set forth in § 1.53(f).

37 C.F.R. § 1.78(a)(1).

NOTE: If the new application being transmitted is a divisional, continuation or a continuation-in-part of a parent case, or where the parent case is an International Application which designated the U.S., or benefit of a prior provisional application is claimed, then check the following item and complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICA-TION(S) CLAIMED.

WARNING: If an application claims the benefit of the filing date of an earlier filed application under 35 U.S.C. §§ 120, 121 or 365(c), the 20-year term of that application will be based upon the filing date of the earliest U.S. application that the application makes reference to under 35 U.S.C. §§ 120, 121 or 365(c). (35 U.S.C. § 154(a)(2) does not take into account, for the determination of the patent term, any application on which priority is claimed under 35 U.S.C. §§ 119, 365(a) or 365(b).) For a c-i-p application, applicant should review whether any claim in the patent that will issue is supported by an earlier application and, if not, the applicant should consider canceling the reference to the earlier filed application. The term of a patent is not based on a claim-by-claim approach. See Notice of April 14, 1995, 60 Fed. Reg. 20,195, at 20,205.

(New Application Transmittal [4-1]—page 2 of 11)

(New Application Transmittal [4-1]—page 3 of 11)

(Rel.80-7/99 Pub.605)

		De	on of Biological Deposit
		pe	omission of "Sequence Listing," computer readable copy and/or amendment taining thereto for biotechnology invention containing nucleotide and/or no acid sequence.
		Au tive	horization of Attorney(s) to Accept and Follow Instructions from Representa-
		Sp	ecial Comments
		Otl	er
5. D	eci	arati	on or oath (including power of attorney)
		the pri application sign by a sign being declarations bersor	y executed declaration is not required in a continuation or divisional application provided that or nonprovisional application contained a declaration as required, the application being filed is or fewer than all the inventors named in the prior application, there is no new matter in the tion being filed, and a copy of the executed declaration filed in the prior application (showing nature or an indication thereon that it was signed) is submitted. The copy must be accompanied atement requesting deletion of the names of person(s) who are not inventors of the application filed. If the declaration in the prior application was filed under § 1.47, then a copy of that tion must be filed accompanied by a copy of the decision granting § 1.47 status or, if a nonsigning under § 1.47 has subsequently joined in a prior application, then a copy of the subsequently and declaration must be filed. See 37 C.F.R. §§ 1.63(d)(1)–(3).
NOTE		is direc abbrev countr C.F.R.	aration filed to complete an application must be executed, identify the specification to which it ted, identify each inventor by full name including family name and at least one given name, without lation together with any other given name or initial, and the residence, post office address and or citizenship of each inventor, and state whether the inventor is a sole or joint inventor. 37 § 1.63(a)(1)–(4).
NOTE		as pre as pre is that this pe	ventorship of a nonprovisional application is that inventorship set forth in the oath or declaration scribed by § 1.62, except as provided for in § 1.53(d)(4) and § 1.63(d). If an oath or declaration cribed by § 1.63 is not filed during the pendency of a nonprovisional application, the inventorship inventorship set forth in the application papers filed pursuant to § 1.53(b), unless a petition under ragraph accompanied by the fee set forth in § 1.17(i) is filed supplying or changing the name less of the inventor or inventors." 37 C.F.R. § 1.41(a)(1).
	E	En	closed
•		Ex	ecuted by
			(check all applicable boxes)
		E X	inventor(s).
			legal representative of inventor(s). 37 C.F.R. §§ 1.42 or 1.43.
			joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.
			☐ This is the petition required by 37 C.F.R. § 1.47 and the statement required by 37 C.F.R. § 1.47 is also attached. See item 13 below for fee.
		No	t Enclosed.
NOTI		the U. may b	the filing is a completion in the U.S. of an International Application or where the completion of S. application contains subject matter in addition to the International Application, the application is treated as a continuation or continuation-in-part, as the case may be, utilizing ADDED PAGE IEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION CLAIMED.
			Application is made by a person authorized under 37 C.F.R. § 1.41(c) on behalf of all the above named inventor(s).
		•	(New Application Transmittal [4-1]—page 4 of 11)

(The dec	claration or oath, along with the surcharge required by 37 C.F.R. § 1.16(e) can be filed subsequently).
	☐ Showing that the filing is authorized. (not required unless called into question. 37 C.F.R. § 1.41(d))
6. Invento	orship Statement
WARNING:	If the named inventors are each not the inventors of all the claims an explanation, including the ownership of the various claims at the time the last claimed invention was made, should be submitted.
The inven	torship for all the claims in this application are::
x⊠ ĭ	The same.
	or
	Not the same. An explanation, including the ownership of the various claims at he time the last claimed invention was made,
[☐ is submitted.
[☐ will be submitted.
7. Langua	ge
An i requ	application including a signed oath or declaration may be filed in a language other than English. English translation of the non-English language application and the processing fee of \$130.00 sired by 37 C.F.R. § 1.17(k) is required to be filed with the application, or within such time as may set by the Office. 37 C.F.R. § 1.52(d).
× _E	English
1 🗆	Non-English
[The attached translation includes a statement that the translation is accurate. 37 C.F.R. § 1.52(d).
8. Assignr	ment ·
XX A	An assignment of the invention to Pace Micro Technology Plc
9	is attached. A separate ★② "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" or ☐ FORM PTO 1595 is also attached.
Ε	□ will follow.
	n assignment is submitted with a new application, send two separate letters-one for the application one for the assignment." Notice of May 4, 1990 (1114 O.G. 77-78).
WARNING:	A newly executed "CERTIFICATE UNDER 37 C.F.R. § 3.73(b)" must be filed when a continuation-in-part application is filed by an assignee. Notice of April 30, 1993, 1150 O.G. 62-64.
	Alous Application Transmitted PA 471

9. Certified y	·					
Certified copy(ies) of appl	ication(s)					
GB	0010929.8			5	May	2000
Country	Appin. No					Filed
GB	0010928.0			5 - 2	May	2000
Country	Appin. No.	•				Filed
GB ·	0010927.2	•		8	May	2000
Country	Appln. No.					Filed
from which priority is claime	ed			,		
☐ is (are) attached.						•
will follow.						
NOTE: The foreign application to declaration, 37 C.F.R. §	orming the basis for the clai 1.55(a) and 1.63.	m for pi	iority must	be re	ferred	to in the oath or
§ 120 is itself entitled to pages FOR NEW APPL CLAIMED.	ational Application from which priority from a prior foreign a ICATION TRANSMITTAL WH	pplicatio	n, then con	nolete	item 1	8 on the ADDED
10. Fee Calculation (37 C			•_			
A. Regular application	on .					
	01 41140 40 511					
	CLAIMS AS FIL	ED				•
Number filed	Number Extra		Rate	37	C.F.	sic Fee R. § 1.16(a) 60:00 x 71
Total Claims (37 C.F.R.			<u> </u>			
	· 20 = 8	 × \$	18.00		. 1	26
Independent Claims (37 C.F.R.						
§ 1.16(b)) 4 —	3 = 1	× \$	78.00			80
Multiple dependent claim(s), if any (37 C.F.R. § 1.16(d))			260.00			
					· .	
☐ Amendment cance	elling extra claims is e	nclose	d.			
	ng multiple-dependend			1.		
				•		
	ns is not being paid at	thie ti	me			
☐ Fee for extra claim NOTE: If the fees for extra claims is	the time period set for respo	t be paid	or the clair	ms cai and Ti	ncelled radema	by amendment, ark Office in any
☐ Fee for extra claim NOTE: If the fees for extra claims a prior to the expiration of the expiration	are not paid on filing they mus the time period set for respo 37 C.F.R. § 1.16(d).	t be paid	or the clair	ms cai and Ti	radema	by amendment, ark Office in any
■ Fee for extra claim NOTE: If the fees for extra claims a prior to the expiration of a notice of fee deficiency. 3 B. ■ Design application	are not paid on filing they mus the time period set for respo 37 C.F.R. § 1.16(d). Filing Fee Calculation	t be paid	or the clair	and Ti	radema	ark Office in any
☐ Fee for extra claim NOTE: If the fees for extra claims a prior to the expiration of a notice of fee deficiency. 3	are not paid on filing they mus the time period set for respo 37 C.F.R. § 1.16(d). Filing Fee Calculation	t be paid	or the clair	and Ti	radema	ark Office in any

(New Application Transmittal [4-1]—page 6 of 11)

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(Rel.80—7/99	ruo.ous)

C . [☐ Plant a	pplication					
			.R. § 1.16(g	3))			
			Filing fee	calculation	1	\$	
. Sr	mail Entity	Statemer	nt(s)			V	
	☐ Stateme	ent(s) that attached.	this is a filin	g by a sm	all entity unde	er 37 C.F.R	. § 1.9 and 1.27
VARNI	affect a Indirect refiling a contin a new o applicat 365(c) o applicat reference stateme desired.	us is available in y other apply of the prosecution of an application of a prior application or in the ce to the stant in the payment.	e and desired. plication or pa upon the applition under § 1. tion application as to continue ovisional application, or a patent if the n tement in the or application or	Status as a tent, includication or pare 53 as a continument of the continument of the continument of the control of the control of the pare of the par	small entity in one applications tent in which the nuation, division, 63(d)), or the filing to small entity so benefit under cation may rely I application or in the pent and status as atutory filing fee waturns.	ne application or patents we status has be or continuating of a reissue tatus for the cast U.S.C. § on a stateme the reissue apparent or inclusion of a small entities of a small entities.	or patent in which or patent does not hich are directly or ten established. The con-in-part (including application requires ontinuing or reissue 119(e), 120, 121, or not filed in the prior plication includes a udes a copy of the y is still proper and as such a reference
/ARNII	can une	ntity status m quivocally n mphasis adde	nake the requir	blished whered self-certif	n the person or p lication." M.P.E.F	ersons signing P., § 509.03, (the statement 6th ed., rev. 2, July
		(co	mplete the i	following,	if applicable)		· · ·
] Status a	s a small	entity was a	claimed in	prior applica	ation	
•							n which benefit
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			121,				
			365(c),				
	and wh	ich status	as a small	entity is s	till proper an	d desired.	
		opy of the	statement	in the pri	or applicatior	n is include	d.
					or C above)		
		-	\$			•	
	are illeg withi	n 2 months	aid will be reful of the date of 37 C.F.R. § 1	timely paym	entitiy status is e nent of a full fee	established and a. The two-mo	d a refund request onth period is not
Rec	quest for l	nternation	al-Type Sea	arch (37 (C.F.R. § 1.10	4(d))	
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	Please pr when nat	epare an i ional exar	nternational-	type searc	·	his applicat	ion at the time
		:			-		

13. Fe	e Payn	ner ling Made at This Time		
] Not	Enclosed		
		No filing fee is to be paid at this time. (This and the surcharge required by 37 C.F.R. § subsequently.)	5 1.16(e)	can be paid
2	⊴ Enc	losed		-
	.	Filing fee	\$:	916
	Ð	Recording assignment (\$40.00; 37 C.F.R. § 1.21(h)) (See attached "COVER SHEET FOR ASSIGNMENT ACCOMPANYING NEW APPLICATION".)	\$.	40
·		Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached		
		(\$130.00; 37 C.F.R. §§ 1.47 and 1.17(i))	\$.	
	.0	For processing an application with a specification in a non-English language (\$130.00; 37 C.F.R. §§ 1.52(d) and 1.17(k))	\$.	
	. 🗆	Processing and retention fee (\$130.00; 37 C.F.R. §§ 1.53(d) and 1.21(l))	\$	
	. 🗆	Fee for international-type search report (\$40.00; 37 C.F.R. § 1.21(e))	\$.	
NOTE:	failing to 37 C.F. either to	R. § 1.21(I) establishes a fee for processing and retaining any apply to complete the application pursuant to 37 C.F.R. § 1.53(f) and the R. §§ 1.53 and 1.78(a)(1), indicate that in order to obtain the benefine basic filing fee must be paid, or the processing and retention for the processing and retaining any apply to the processing and retaining any apply the processing and apply the processing any apply the processing and apply the processing and apply the processing and apply the processing and apply the processing any apply the processing and apply the processing and apply the processing any apply the processing any apply the processing and apply the processing and apply the processing any apply the processing any apply the processing any apply the processing any apply th	is, as well a fit of a prior	s the changes to U.S. application,
		Total fees enclosed	\$	956
14. M	ethod	of Payment of Fees		
£	∰ Che	eck in the amount of \$ 956		-
. [☐ Cha	arge Account No.	in the	amount of
	A d	uplicate of this transmittal is attached.		
NOTE:	Fees st § 1.22(ould be itemized in such a manner that it is clear for which purpos b).	e the fees ar	e paid. 37 C.F.R.
				•

(New Application Transmittal [4-1]—page 8 of 11)

15. Authorization to Charge Additional Fees

WARNING: If no fees are to be paid on filing, the following items should not be completed.

WARNING: Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges, if extra claim charges are authorized.

The Commissioner Is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No. 08-1500

Ex 37 C.F.R. § 1.16(a), (f) or (g) (filing fees)

Kk 37 C.F.R. § 1.16(b), (c) and (d) (presentation of extra claims)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 C.F.R. § 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

(a) 37 C.F.R. § 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)

37 C.F.R. § 1.17(a)(1)-(5) (extension fees pursuant to § 1.136(a)).

Ek 37 C.F.R. § 1.17 (application processing fees)

NOTE: ". . . A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 C.F.R. § 1.136(a)(3).

37 C.F.R. § 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. § 1.311(b))

NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 C.F.R. § 1.311(b).

NOTE: 37 C.F.R. § 1.28(b) requires "Notification of any change in status resulting in loss of entitlement to small entity status must be filed in the application . . . prior to paying, or at the time of paying, . . . the issue fee. . . " From the wording of 37 C.F.R. § 1.28(b), (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.

(New Application Transmittal [4-1]—page 9 of 11)



NOTE: ". . . Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 C.F.R. § 1.26(a).

X⊠ Credit Account No. <u>08-1500</u>

□ Refund

Reg. No. 32,840

Tel. No. (918) 587 2000

Customer No.24118

SIGNATURE OF PRACTITIONER

Mark G. Kachiqian (type or print name of attorney)

228 West 17th Place

P.O. Address

Tulsa, Oklahoma 74119 USA

(New Application Transmittal [4-1]—page 10 of 11)

(Rel.80-7/99 Pub.605)

FORM 4-1

Incom	poration by reference of added pages	
pr sta th	heck the following item if the application in this transmittal claims the benefit of ior U.S. application(s) (including an international application entering the U.S. age as a continuation, divisional or C-I-P application) and complete and attach e ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF RIOR U.S. APPLICATION(S) CLAIMED)	
кZк	Plus Added Pages for New Application Transmittal Where Benefit of Priorxk& Application(s) Claimed	U.K.
	Number of pages added1	
	Plus Added Pages for Papers Referred to in Item 4 Above	
	Number of pages added	
. 🗖 .	Plus added pages deleting names of inventor(s) named in prior application(s) who is/are no longer inventor(s) of the subject matter claimed in this application. Number of pages added	
	Plus "Assignment Cover Letter Accompanying New Application"	
	Number of pages added	
State	ment Where No Further Pages Added	
•	no further pages form a part of this Transmittal, then end this Transmittal with is page and check the following item)	
	This transmittal ends with this page.	
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18.	Dai	ate Back—35 U.S.C. §	440 Briggity Claim	don Dulon And	
		U.K. DEWS. application(s), include			
U.S.,	ider	tified above in item 17B, in	turn itself claim(s) for	eign priority(ies	as follows:
GB			1928.0	5 May	2000
GB Th	e cei	Country 0010 tified copy(ies) has (have)	Appln. no. 929.8	Filed of 5 May	
		been filed on	, in prior application 0	/	, which was
	χX	xisx (erre): xattachest.x wi	ll follow		
		the International Bureau may not application in the continuing application communicated by a U.S. serial number unless the stage is not entered. Therefore prosecution of a continuing ap documents from the folders and to request transfer, retrieve the enter and make a record of such the priority documents in folders tage may not be relied on. N	application. This is so beca the International Bureau is po- national stage is entered. Such a, such certified copies may re- plication. An alternative would it transfer them to the continuir folders, make suitable record re- th copies in the Continuing Ap- pers of international application	ause the certified of laced in a folder a folders are dispossored by a vailable if it does not be available if it does not be available. The application are substant that have not experied in the content of the conte	copy of the priority and is not assigned and of if the national needed later in the remove the priority resources required the certified copies, antial. Accordingly,
19.	Mai	ntenance of Copender	cy of Prior Applicat	tion	
NOT	re	ne PTO finds it useful if a copy of sponse is filed with the papers ovember 5, 1985 (1060 0.G. 27).	f the petition filed in the price constituting the filing of the	or application exte continuation app	nding the term for lication. Notice of
A.		Extension of time in prior	application		
	(This	item must be completed if the period set	and the papers filed in in the prior application		olication,
		A petition, fee and respon	se extends the term in	the pending p o	rior application
		☐ A copy of the petition	n filed in prior application	on is attached.	
B.		Conditional Petition for Ex			
		(complete this item	n, if previous item not a	applicable)	
		A conditional petition for application.	extension of time is be	ing filed in the	pending prior
		☐ A copy of the condition	onal petition filed in the	prior application	on is attached.